



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

In re Application of: James P. Coppola III

Application No.: 09/587,619

Filing Date: June 5, 2000

Title: Portfolio Accounting and Risk  
Management

Direct to: Box Reconstruction  
United States Patent and Trademark Office  
Washington, DC 20231

**RECEIVED**

APR 05 2006

**GROUP 3600****NOTICE UNDER 37 CFR 1.251 - Pending Application****Statement (check the appropriate box):**

☒ The copy submitted with this reply is a complete and accurate copy of applicant's record of all of the correspondence between the Office and the applicant for the above-identified application (except for U.S. patent documents), and applicant is not aware of any correspondence between the Office and applicant for the above-identified application that is not among applicant's records.

☐ The copy of the paper(s) listed in the notice under 37 CFR 1.251 is/are a complete and accurate copy of applicant's record of such paper(s).

☐ The papers produced by applicant are applicant's complete record of all of the correspondence between the Office and the applicant for the above-identified application (except for U.S. patent documents), and applicant is not aware of any correspondence between the Office and the applicant for the above-identified application that is not among applicant's records.

☐ Applicant does not possess any record of the correspondence between the Office and the applicant for the above-identified application.

March 30, 2006  
Date

Beverly E. Hjorth  
Signature

Beverly E. Hjorth, Reg. No. 32,033  
Typed or printed name Attorney for Applicant

**A copy of this notice should be returned with the reply.**

**Burden Hour Statement:** This collection of information is required by 37 CFR 1.251. The information is used by the public to reply to a request for copies of correspondence between the applicant and the USPTO in order to reconstruct an application file. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 60 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Rev 07/05

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application : James P. Coppola III  
 Application No. : 09/587,619  
 Filed : June 5, 2000  
 Confirmation No. : 8863  
 For : PORTFOLIO ACCOUNTING AND RISK MANAGEMENT  
 SYSTEM  
 Examiner : Sally Shih  
 Attorney's Docket : TRD-001XX

TC Art Unit: 3624

\*\*\*\*\*  
 I hereby certify that this correspondence is being deposited with  
 the United States Postal Service as first class mail in an  
 envelope addressed to: Mail Stop Reconstruction, United States  
 Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-  
 1450 on March 30, 2006.

By: Beverly E. Hjorth  
 Beverly E. Hjorth  
 Registration No. 32,033  
 Attorney for Applicant

\*\*\*\*\*

RESPONSE TO NOTICE UNDER 37 C.F.R. § 1.251

Mail Stop Reconstruction  
 United States Patent and Trademark Office  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Attention: Jackie Waldo

Sir:

In response to the Notice Under 37 C.F.R. § 1.251 dated  
 January 5, 2006, Applicant submits herewith a copy of applicant's  
 record of all correspondence between the Office and the Applicant  
 in the above-identified application.

A list of this correspondence is as follows:

**Correspondence to the Patent Office:**

- Application as filed on June 5, 2000, including:
  - Application, pages 1-39;
  - 28 sheets of informal drawings;
  - Declaration and Power of Attorney (unsigned)
  - Copy of Verified Small Entity Statement from provisional application
  - Transmittal letter (4 sheets)
  - Express Mail Log Sheet
- Letter to Official Draftsperson Re: Submission of Formal Drawings with 26 sheets of formal drawings, mailed August 24, 2000
- Letter enclosing Missing Parts including Notice to File Missing Parts, signed Declaration, and copy of Small Entity Statement from provisional application, mailed September 8, 2000;
- Information Disclosure Statement (citing three U.S. patent documents and ten non-patent documents) and ten non-patent documents, mailed April 10, 2001;
- Status Letter, mailed August 28, 2002;
- Petition to Revive, Statement of James P. Coppola, and Amendment Transmittal Sheet and Amendment, filed by facsimile on September 24, 2004;
- Information Disclosure Statement (citing three U.S. patent documents), including copy of International Preliminary Examination Report in corresponding PCT International Application No. PCT/US00/15452, mailed December 13, 2004;
- Status Letter, mailed May 24, 2005.

**Correspondence from the Patent Office:**

- Notice to File Missing Parts of Nonprovisional Application and Filing Receipt, dated August 16, 2000;
- Filing Receipt, dated September 20, 2000;
- Letter regarding projected examination date, dated September 10, 2002;
- First Office Action, including Notice of References Cited (citing seven U.S. patent documents and one Japanese patent document) and one Japanese patent document, dated June 25, 2003;
- Notice of Abandonment, dated January 13, 2004;
- Decision granting Petition to Revive; dated December 6, 2004;
- Notice Under 37 C.F.R. § 1.251, dated January 5, 2006.

The enclosed copy is a complete and accurate copy of Applicant's record of all of the correspondence between the Office and the Applicant for the above-identified application (except for U.S. patent documents).

Applicant is not aware of any correspondence between the Office and Applicant for the above-identified application that is not among applicant's records.

Application No. 09/587,619

Filed: June 5, 2000

TC Art Unit: 3624

Confirmation No.: 8863

The Examiner is encouraged to telephone the undersigned attorney to discuss any matter that would expedite prosecution of the present application.

Respectfully submitted,

JAMES P. COPPOLA III

By: Beverly E. Hjorth  
Beverly E. Hjorth  
Registration No.  
Attorney for Applicant

WEINGARTEN, SCHURGIN,  
GAGNEBIN & LEOVICI LLP  
Ten Post Office Square  
Boston, MA 02109  
Telephone: (617) 542-2290  
Telecopier: (617) 451-0313

BEH/dkh/332651.1